

09/762923

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UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
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Washington, D.C. 20231

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
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CORAM NY 11727-0996

5611

INTERNATIONAL APPLICATION NO. B99/12510

I.A. FILING DATE	PRIORITY DATE
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07/09/98 08/13/98

03/15/01

DATE MAILED:

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as  a Designated Office (37 CFR 1.494),  an Elected Office (37 CFR 1.495):

- U.S. Basic National Fee.
  - Copy of the international application in:
    - a non-English language.
    - English.
  - Translation of the international application into English.
  - Oath or Declaration of inventors(s) for DO/EO/US.
  - Copy of Article 19 amendments.
  - Translation of Article 19 amendments into English.
  - The International Preliminary Examination Report in English and its Annexes, if any.
  - Translation of Annexes to the International Preliminary Examination Report into English.
  - Preliminary amendment(s) filed \_\_\_\_\_ and \_\_\_\_\_
  - Information Disclosure Statement(s) filed \_\_\_\_\_ and \_\_\_\_\_
  - Assignment document.
  - Power of Attorney and/or Change of Address.
  - Substitute specification filed \_\_\_\_\_
  - Statement Claiming Small Entity Status.
  - Priority Document.
  - Copy of the International Search Report  and copies of the references cited therein.
  - Other:
2. The following items MUST be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:
- a. Translation of the application into English. Note a processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
    - The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
  - b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
  - c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
    - The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
  - d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).
3. Additional claim fees of \$ \_\_\_\_\_ as a  large entity  small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

**ALL OF THE ITEMS SET FORTH IN 2(a)-2(d) AND 3 ABOVE MUST BE SUBMITTED WITHIN ONE MONTH FROM THE DATE OF THIS NOTICE OR BY  21 OR  31 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

4. Translation of the Annexes MUST be submitted no later than the time period set above or the annexes will be cancelled. Note processing fee will be required if submitted later than 30 months from the priority date.
5.  The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

**A copy of this notice MUST be returned with this response.**

Enclosed:  PCT/DO/EO/917  Notice of Defective Translation  
 PTO-875

Lamont Hunter

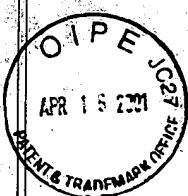
National Search Processing  
 Telephone: (703) 305-3666

FORM PCT/DO/EO/905 (December 1997)

04-17-01

JC03 PCT/PTO

16 APR 2001  
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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: DAWOOD PARKER ART UNIT:

SERIAL NO.: 09/762,923 EXAMINER:

FILED: CONCURRENTLY HEREWITH

P.C.T. APPLICATION NO.: PCT/GB99/02510

EARLIEST PRIORITY CLAIMED: AUGUST 13, 1998

P.C.T. INTERNATIONAL FILING DATE: JULY 30, 1999

U.S. NATIONAL FEE PAID: FEBRUARY 12, 2001

TITLE: OPTICAL DEVICE

SUBMISSION OF DECLARATION, PRELIMINARY AMENDMENT,  
ASSIGNMENT FOR RECORDATION, INFORMATION DISCLOSURE STATEMENT,  
ADDITIONAL CLAIMS FEE, AND REQUISITE SURCHARGE

Hon. Commissioner for Patents  
United States Patent and Trademark Office  
Box PCT  
Washington, D. C. 20231

Attn: DO/EO/US

Dear Sir:

In reply to the "Notification of Missing Requirements  
under 35 U.S.C. 371," dated March 15, 2001, Applicant in

"Express Mail" mailing label number EF 100061435 US  
Date of Deposit April 16, 2001

I hereby certify that this paper is being deposited with the  
U.S. Postal Service "Express Mail - Post Office to Addressee"  
service under 37 C.F.R. §1.10 on the date indicated above and  
is addressed to: Hon. Commissioner for Patents, United States  
Patent and Trademark Office, Washington, D. C. 20231.

  
Edwin D. Schindler, Reg. No. 31,459

April 16, 2001  
Date

the above-identified patent application hereby submits the following documents:

1. Copy of "Notification of Missing Requirements under 35 U.S.C. 371";
2. Declaration/Power of Attorney executed by Applicant;
3. Assignment for recordation w/Cover Sheet;
4. Preliminary Amendment; and,
5. Information Disclosure Statement w/Form PTO-1449 and five-(5) cited references.

Prior Claim to Small Entity Status

On April 12, 2001, Applicant filed a Small Entity Statement (Small Business Concern), and a request for a refund of one-half of the Basic U.S. National Fee paid on February 12, 2001. Accordingly, Small Entity fees apply to this application for all fees reducible by a claim of Small Entity status.

Authorization to Charge Deposit Account

The Office is hereby authorized to charge the Deposit Account of Applicant's Attorney, Deposit Account No. 19-0450, in the amount of \$275.00, to cover the following fees:

- (a) the requisite surcharge of \$65.00 (small entity) for submission of the Declaration subsequent to the 30th-month deadline from the claimed date of foreign priority;
- (b) the additional claims fee of \$80.00 (small entity) for the pendency of two independent claims behind the three